DEPARTMENT OF HEALTH AND HUMAN SERVICES
HEALTH CARE FINANCING ADMINISTRATION

Date Issued: November 22, 2000

Operational Policy Letter #: 2000.127

To:		
Current M+C Organizations		X
CHPP Demonstrations:		
Evercare		X
DoD (TriCare)		
SHMO I & II		X
PACE		X
Medicare Choices		
OSP Demonstrations:		
MSHO		
W.P.S.		
HCPPs		
Federally Qualified HMOs		X
Section 1876 Cost Plans		

Subject: New Instructions for Submission of Unique Physician Identification Numbers (UPINs) for Medicare+Choice Organization (M+CO) Providers for Physician Encounter Data Collection

Effective Date: Upon Issuance

Implementation Date: Upon Issuance

HCFA is replacing OPL 2000.119 with this OPL. On May 9, 2000, HCFA issued OPL 2000.119 that provided detailed instructions to M+COs on UPIN assignment. The following is a summary of key changes:

- HCFA will collect only existing UPINs from M+COs. That is, M+COs will be required to submit UPINs that were previously assigned to their providers by a Medicare carrier. M+COs are not required to obtain new UPINs for providers without a previously assigned UPIN. Therefore, assignment of new UPINs for any M+CO provider (network physician, non-network physician, and network and non-network non-physician practitioners) is no longer a requirement for the collection of physician encounter data. HCFA is not expanding UPIN usage, but rather utilizing previously assigned UPINs.

- M+COs must meet an 85% UPIN submission rate for network physicians.

- M+COs may request matching assistance from the Customer Service and Support Center (CSSC) (see Section III, Matching UPINs).

NOTE: All demonstrations are required to submit physician encounter data. Therefore, demonstration sites must consult their HCFA-Central Office contact person to determine applicability of this OPL.

I. BACKGROUND

In November 2000, HCFA begins collecting physician encounter data from M+COs as part of the implementation of comprehensive risk adjusted payments to M+COs. M+COs will begin submitting physician encounter data electronically for dates of service beginning October 1, 2000. Encounter data submission requires identification of the physician or other practitioner who provided the service at the line item level on the M+C National Standard Format (M+C NSF). After consideration of several options for identifying providers, the Unique Physician Identification Number (UPIN) was determined the best option for physician identification purposes. The UPIN is a single, national number assigned to each provider who interacts with Medicare carriers. Moreover, until the Health Insurance Portability and Accountability Act (HIPAA) National Provider Identifier (NPI) standard is implemented, the UPIN will be used to maximize the integrity of physician encounter data. Once NPIs have been implemented, HCFA will assist M+COs by "crosswalking" M+CO provider UPINs to the new NPIs.

II. REQUIREMENTS

A provider identification number is required for all physician encounters as described in OPL #2000.124 "Physician Encounter Data Requirements from the Balanced Budget Act of 1997 (BBA)." Therefore, the M+CO is responsible for including an assigned UPIN or a surrogate UPIN for every service provided on a physician encounter. On the M+C NSF the UPIN populates record FA0, field 23.0.

It is mandatory for each M+CO to attain an 85% UPIN submission rate by July 1, 2001 for network physicians[1] where credentialing is not delegated[2]. HCFA anticipates approximately a 15% UPIN submission rate until July 1, 2002 for network physicians with delegated credentialing. M+COs must attain 85% UPIN submission rate for UPINs for all network physicians by July 1, 2002. Please note that non-physician practitioners with existing UPINs should not be included in the calculation of the 85% UPIN submission rate. However, M+COs are encouraged to include non-physician practitioner UPINs on physician encounter data if available.

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[1] Network physicians are defined as anyone with whom the M+CO has contracted or subcontracted for services.
[2] Delegated credentialing occurs when a party other than the M+CO performs the credentialing process.

The following formulas provide guidelines for M+COs to calculate their UPIN submission rates:

BY JULY 1, 2001

$$\frac{\text{Number of encounters where network physicians are identified with an actual UPIN*}}{\text{Total number of encounters for all network physicians without delegated credentialing}}$$

*does not include surrogate UPINs

BY JULY 1, 2002

$$\frac{\text{Number of encounters for network physicians with an actual UPIN*}}{\text{Total number of encounters for all network physicians regardless of credentialing}}$$

*does not include surrogate UPINs

The CSSC will monitor M+CO surrogate UPIN usage. If the CSSC finds that a M+CO is not at the 85% UPIN submission rate, then the CSSC will work with M+COs to increase submission of previously assigned UPINs.

There are two possible options for the M+CO to provide the previously assigned UPIN on each physician encounter. They are:

Option #1: The physician knows their UPIN and records the UPIN on the source of the encounter data that is supplied to the M+CO (e.g. HCFA 1500, electronic media claim, etc.).

Option #2: The M+CO "crosswalks" the physician name or other identifying number (e.g. physician identification number or PIN) to the correct UPIN (this will most likely be an automated, electronic process).

III.   MATCHING UPINs

M+COs have the option of matching previously assigned UPINs either by accessing the HCFA posted UPIN files or by requesting matching assistance from the CSSC.

HCFA has posted 1 national UPIN file and 52 state and territory files (50 files, 1 for each state; 1 for Washington, D.C.; and 1 for outlying areas (e.g. Puerto Rico, U.S. Virgin Islands, etc.)) on the HCFA Data Center (HDC) mainframe. In addition, a zipped national file is available for download. See Attachment A for a description of the files and complete UPIN file(s) downloading instructions.

All UPIN files contain identifying elements to assist M+COs in matching their providers. The matching elements are: full name, license number and state, date of birth, and specialty. Files will be updated monthly. Since many providers have more than one state license, each

individual will have a separate record for each state license number on the file. Regardless of how many records an individual may have, each record will map to the same UPIN.

A UPIN is a 6-digit alphanumeric identifier. A UPIN always begins with a letter followed by 5 numbers. Letters A though M identify medical doctors (medical doctors and doctors of osteopathy); letters T though V identify other doctors (such as chiropractors, dentists, podiatrists, and optometrists); letters R through S identify non-physician practitioners; and letters W through Z identify Group UPINs (Group UPINs are not applicable for physician encounter data).

NOTE: The Health Plan Management System (HPMS) now has UPIN searching and browsing capability. See Attachment B for instructions.

CSSC Matching Assistance:

Matching assistance provided by the CSSC is available. If a M+CO chooses CSSC matching assistance, then contact the CSSC by phone at **1-877-534-CSSC (2772)** or by email at mcoservice@pgba.com.

IV.   SURROGATE UPINs

If a provider does not have a UPIN assigned, then a surrogate UPIN must be used. Use the appropriate surrogate for all providers unless the actual UPIN is available. The following is the list of HCFA authorized surrogate UPINs:

Surrogate UPIN	Provider Type
AA0000	Anesthesia Assistant
CNA000	Certified Registered Nurse Anesthetist
CNM000	Certified Nurse Midwife
CNS000	Clinical Nurse Specialist
CP0000	Clinical Psychologist
CSW000	Clinical Social Worker
FOR000	Foreign Doctor (for all non-United States physicians)
MD0000	Medical Doctor (includes DO, CH, DDM, DDS, DPM, OD)
NP0000	Nurse Practitioner
OT0000	Occupational Therapist
PA0000	Physician Assistant
PT0000	Physical Therapist

IMPORTANT NOTE: Correct Coding Initiative (CCI) edits will be turned off for physician encounter data until June 30, 2001. CCI edits rely on provider identifiers to differentiate services. Therefore, use of surrogate UPIN may result in an increased number of duplicate physician encounters. HCFA strongly encourages M+COs to provide the UPIN when possible.

V. RESTRICTIONS ON USE OF DATA

In compliance with the HDC User Agreement, any data received from the HDC shall be utilized for authorized purposes only. All M+COs, as HDC users, are bound by the general terms of that agreement. The following paragraph spells out the specific routine use of the UPIN data files that HCFA is providing to M+COs:

The UPIN data files shall be utilized only for purposes of identifying providers that are submitting encounter data. The files may be used to match to M+COs' provider files to add UPINs to existing identifying information. The UPIN data files may also be used to create a "crosswalk" file for purposes of matching an incoming identifier on an encounter transaction, e.g., license number to the UPIN. Neither the UPIN data file nor data from the UPIN file shall be used for any other purpose, regardless of whether it is connected to the M+CO program, without prior written authorization from HCFA.

M+COs may share the UPIN data file with other M+COs if that proves to be a more efficient means to distribute the data. Both the sender and recipient are bound by the terms of routine use as described above.

Subcontractor Use of Data:

The M+CO may also share data with any subcontractors involved in encounter data submission or provider credentialing, registration or identification. However, all subcontractor access to this data is subject to the following terms: The subcontractor must protect the confidentiality of the data according to the same requirements that govern the M+CO. The data shall be utilized only for the activity outlined in this Operational Policy Letter, and only for the duration of that activity at the subcontractor. Upon termination of the activity at the subcontractor, the subcontractor shall return all data to the M+CO. The M+CO shall have written agreements with each subcontractor who receives privacy sensitive data as part of this effort. If a M+CO elects to provide this data to a subcontractor, the M+CO is responsible for the conduct of the subcontractor with respect to protecting the confidentiality of data. If a subcontractor violates the provisions of this Operational Policy Letter, HCFA regards this as a violation of the M+CO contract, the same as if the M+CO itself were to violate the data use agreement.

Contact: HCFA Regional Office Managed Care Staff

This OPL was prepared by the Center for Health Plans and Providers.

ATTACHMENT A
INSTRUCTIONS FOR ACCESSING AND DOWNLOADING
UPIN FILES FROM HCFA DATA CENTER

The current national UPIN file of all assigned UPINs has been posted and is accessible through the HCFA Data Center (HDC) mainframe. The file is approximately 150 megabytes, with each record being approximately 115 bytes. HCFA recommends that download of the national file be accomplished via a mainframe-to-mainframe transmission—most likely utilizing a network data mover. In addition, 52 UPIN files (50, 1 for each state; 1 for Washington, D.C.; and 1 for outlying areas (e.g. Puerto Rico, U.S. Virgin Islands, etc.)) are available on the HDC mainframe as an alternative to downloading the 150 megabyte file. The UPIN file contains several identifying elements to aid M+COs in matching their contracted physicians and non-physician practitioners to the UPIN file. The matching elements are: full name, license number and state, and date of birth. Since many physicians have more than one state license, each individual will have a separate record for each state license number on the file. Regardless of how many records an individual may have, each record will map to the same UPIN.

1.   Utilize your AT&T Global Services (AGS) connectivity to access the HCFA Data Center (HDC). When the HDC screen appears, press ENTER.

2.   A menu will appear that contains a list of HDC applications. Select number 1, TSO and press ENTER. You will be prompted to input your USERID. Input your HCFA USERID and press ENTER. A logon screen will appear where you will input your HCFA password and press ENTER.

3.   The ISPF Primary Option Menu will appear. Input 3.4 on the Option line and press ENTER.

4.   The Data Set List Utility screen will appear. Input the UPIN data set name on the Dsname level line and press ENTER. The UPIN data set names are (choose one at a time):
        National UPIN File (approx. 150 MB):   OG00.@BGD5050.UPINMCPF.NATL
              OR
        State UPIN Files (file extension = State abbreviation):

MU00.@AAA2365.UPINMCPF.AL	MU00.@AAA2365.UPINMCPF.IL
MU00.@AAA2365.UPINMCPF.AK	MU00.@AAA2365.UPINMCPF.IN
MU00.@AAA2365.UPINMCPF.AZ	MU00.@AAA2365.UPINMCPF.IA
MU00.@AAA2365.UPINMCPF.AR	MU00.@AAA2365.UPINMCPF.KS
MU00.@AAA2365.UPINMCPF.CA	MU00.@AAA2365.UPINMCPF.KY
MU00.@AAA2365.UPINMCPF.CO	MU00.@AAA2365.UPINMCPF.LA
MU00.@AAA2365.UPINMCPF.CT	MU00.@AAA2365.UPINMCPF.ME
MU00.@AAA2365.UPINMCPF.DE	MU00.@AAA2365.UPINMCPF.MD
MU00.@AAA2365.UPINMCPF.FL	MU00.@AAA2365.UPINMCPF.MA
MU00.@AAA2365.UPINMCPF.GA	MU00.@AAA2365.UPINMCPF.MI
MU00.@AAA2365.UPINMCPF.HI	MU00.@AAA2365.UPINMCPF.MN
MU00.@AAA2365.UPINMCPF.ID	MU00.@AAA2365.UPINMCPF.MS

MU00.@AAA2365.UPINMCPF.MO
MU00.@AAA2365.UPINMCPF.MT
MU00.@AAA2365.UPINMCPF.NE
MU00.@AAA2365.UPINMCPF.NV
MU00.@AAA2365.UPINMCPF.NH
MU00.@AAA2365.UPINMCPF.NJ
MU00.@AAA2365.UPINMCPF.NM
MU00.@AAA2365.UPINMCPF.NY
MU00.@AAA2365.UPINMCPF.NC
MU00.@AAA2365.UPINMCPF.ND
MU00.@AAA2365.UPINMCPF.OH
MU00.@AAA2365.UPINMCPF.OK
MU00.@AAA2365.UPINMCPF.OR
MU00.@AAA2365.UPINMCPF.PA
MU00.@AAA2365.UPINMCPF.RI
MU00.@AAA2365.UPINMCPF.SC
MU00.@AAA2365.UPINMCPF.SD
MU00.@AAA2365.UPINMCPF.TN
MU00.@AAA2365.UPINMCPF.TX
MU00.@AAA2365.UPINMCPF.UT
MU00.@AAA2365.UPINMCPF.VT
MU00.@AAA2365.UPINMCPF.VA
MU00.@AAA2365.UPINMCPF.WA
MU00.@AAA2365.UPINMCPF.WV
MU00.@AAA2365.UPINMCPF.WI
MU00.@AAA2365.UPINMCPF.WY

District of Columbia: MU00.@AAA2365.UPINMCPF.DC
Outlying areas (e.g. Puerto Rico, Guam, etc.): MU00.@AAA2365.UPINMCPF.OL

NOTE: A ZIPPED national file has been created. The dataset name on the HCFA Mainframe is MU13.@aaa2365.upinmcpf.natl.zip   (this is a binary file)

5.   The next screen will display the UPIN data set name. Move the cursor down next to the first letter in the data set name (e.g. O or M), backspace once, type a B (for Browse) and press ENTER.

6.   At this point, the actual data from the UPIN file will appear.

  a. Press F3 three times to return to the ISPF Primary Option Menu
  b. Type =x on option line to obtain READY prompt
  c. At the READY prompt click on FILE
  d. Click on FILE TRANSFER
  e. Click on IND FILE
  f.   Click on Receive from Host
  g. Click on TSO

7. A window will appear over the data entitled INDFILE Transfer TSO (Receive from Host). At the top, in the Local File area, input the drive and name of the file on your PC into which the UPIN file will be downloaded.

    For example: C:\directory\UPIN.DAT

8. In the second box, the Host File area, input the name of the file in single quotes (') that is to be downloaded from the Host. For example: 'OG00.@BGD5050.UPINMCPF.NATL'
    OR
    'MU00.@AAA2365.UPINMCPF.DC'

9. Click on the ASCII box. A check mark will appear automatically in the ASCII and the CRLF boxes.

10. Click on OK

11. The UPIN file will begin to download.

12. The record layout for the UPIN file consists of the following:

    UPIN (6 characters)
    First Name (14 characters)
    Middle Name (6 characters)
    Last Name (20 characters)
    Name Suffix (3 characters)
    State License (12 characters)
    State (2 characters)
    Date of Birth (8 characters)
    Specialty Name (35 characters)
    Effective Opt Out Date (8 characters)

For technical support, please contact the HCFA Action Desk at 800-562-1963. Please reference "UPIN files" when making your call.

ATTACHMENT B
INSTRUCTIONS FOR ACCESSING THE UPIN
SEARCH FUNCTION IN HPMS

1. Log into HPMS.

2. On the "HPMS Homepage," select the <u>Encounter Data</u> link.

3. On the "Encounter Data Start Page," select the <u>UPIN Data</u> link.

4. On the "Search for UPIN page," you can search the complete UPIN file (all-state file containing all UPIN data) or monthly update files (all UPIN data changes for each month).

   Complete UPIN File -- You must filter the complete UPIN file by all states or one or more states; you must also filter by one or more of the following elements: UPIN number, License number, and first/last name. You can download the filtered dataset; you can also view the file online if it contains less than 500 records. Because of its size, the complete UPIN file is <u>not</u> available for download.

   Monthly Update File -- You must select a monthly update file and filter by all states or one or more states; you can also filter by one or more of the following elements: UPIN number, License number, and first/last name. You can download the entire monthly update file or the filtered dataset. You can also view the file online if it contains less than 500 records.

For technical support, please contact the HPMS Help Desk at either 1-800-220-2028 or hpms@nerdvana.fu.com.